PTO/SB/08A (10-01)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB

Substitute for form 1449A/PTO	Complete if Known	35
	Application Number	20
INFORMATION DISCLOSURE	Filing Date	100
STATEMENT BY APPLICANT	First Named Inventor FULLER	
	Art Unit	
(use as many sheets as necessary)	Examiner Name	
Sheet 1 of 3	Attorney Docket Number DF01-001	ラデ

	1			TENT DOCUMENTS	T 2
Examine Initials		Document Number Number - Kind Code 2 (ii	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	us- 6,272,48;	8/7/2001	Joslin, Clements	
		us- 6,269,339		Silver	
		US- 6,223,164	5/24/2001	Seare et al	
	[∪s- 6,088,510	7/11/2000	Sims	
		us- 5,999,89	3 12/7/1999	Lynch et al	
		us- 6,026,39	7 2/15/2000	Sheppard	
· · · · · · · · · · · · · · · · · · ·		US- 6,272,478	8/7/2001	Obata et al.	
	.]	us- 6,212,520	6 4/3/2001	Chaudhuri et al.	
· · · · · · · · · · · · · · · · · · ·]	us- 6,125,36	9/26/2000	Elworthy	
		US- 5,787,420	7/28/2001	Tukey	
		US- 5,712,984	1/27/1998	Hammond et al.	
		us- 6,029,138	3 2/22/2000	Khorasami et al.	
		us- 6,202,050	3/13/2001	Christiansen et al.	
		us- 6,266,656	5 7/24/2001	Ohno	
		Us- 6,182,070	1/30/2001	Megiddo et al.	
		us- 5,187,673	3 2/16/1993	Carver, Jr. et al.	
		us- 5,790,758	8/4/1998	Streit	
		US-			
		US-			
a	1	us-			

FOREIGN PATENT DOCUMENTS							
Examiner Initials*		Foreign Patent Document County Code 3 - Number 4 - Kind Code 5 (# known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	т	
					samman mahada mahada mahada mahada mahada sahada bara mahada sahada sahada sahada sahada sahada sahada sahada s	Ţ	
						ļ	
The State of the S						ļ	
			•••••	<u> </u>			
	en e		garan ya garan ang digang ang ang ang ang ang ang ang ang ang			<u> </u>	
					 		

Examiner	Date	
Signature	Considered	

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.usptc.gev or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 If possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB

control number.

Substitute for form 1449B/PTO
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary) 2 3

Sheet

Complete if Known				
Application Number		0		
Filing Date		Į.		
First Named Inventor	FULLER	S		
. Group Art Unit		> C		
Examiner Name		2		
Attorney Docket Number	DF01-001	ر د د		

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	1.	Anderberg, Michael, <u>Cluster Analysis for Applications</u> , Academic Press, New York, 1973.
	2.	Bock, HH, <u>Classification and Related Methods of Data Analysis</u> , Elsevier Science Publishers, North Holland, 1988
	3.	Celeux, Gilles and Soromenho, Gilda, "An Entropy Criterion for Assessing the Number of Clusters in a Mixture Model," <i>Journal of Classification</i> , 13, 195-212, 1996
un un un en hadin de Andréin Andréin ann an h	4.	Fowles JB et al, "Taking health status into account when setting capitation rates: a comparison of risk-adjustment methods," <i>JAMA</i> 276(16): 1316-21, 1996.
• • • • • • • • • • • • • • • • • • • •	5.	Hornbrook, Mark C & Goodman Michael J., "Assessing Relative Health Plan Risk with the Rand 36 Health Survey," <i>Inquiry</i> , 32:1, 56-74, 1995.
		Hornbrook, Mark C & Goodman Michael J., "Chronic Disease, Functional Health Status, and Demographics: A Multi-Dimensional Approach to Risk Adjustment," <i>Health Services Research</i> , 31:3, 283-307, 1996.
	7.	Lamers, LM & van Vliet RC, "Multiyear diagnostic information from prior hospitalization as a risk-adjuster for capitation payments," <i>Medical Care</i> , 34:4 549-561, 1996.
	8.	Lorr, Maurice, <u>Cluster Analysis for Social Scientists</u> , Jossey-Bass Publishers, San Francisco,1983.
	9.	Matthews, Georffrey & Hearne, James, "Clustering Without a Metric," <i>IEEE Transactions</i> on Pattern Analysis and Machine Intelligence, V13N2, p175-184, 1991.
•••••	10.	Soromenho, Gilda, "Comparing Approaches for Testing the Number of Components in a Finite Mixture Model," <i>Computational Statistics</i> , 9, 65-78,1994.
	11.	Nord, Erik, "Health Status Index Models for use in Resource Allocation Decisions," International Journal of Technology Assessment in Health Care, 12:1, 1996.

Examiner	Date	
Signature	 Considered	

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents. Washington, DC 20231.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

		Office: U.S. DEPARTMENT OF COMMERCE
Inder the Paperwork Reduction Act of 1995, no per	sons are required to respond to a collectio	n of information unless it contains a valid OMB
control number	•	

Substitute for form 1449B/PTO				Complete if Known			
			OL COURT	Application Number		or	
INFORMATION DISCLOSURE			CLOSURE	Filing Date			Ea
STATEMENT BY APPLICANT				First Named Inventor	FULLER	w N	
ואומן			I I LIOANI	Group Art Unit		3	糧
	(use as many she	eets a	s necessary)	Examiner Name		22	/宣
Sheet	3	of	3	Attorney Docket Number	DF01-001		殭

Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Т
	12.	Anderson, Richard V., "Can Risk-Assessment Tools be Feasibly Used in the Health Benefit Marketplace?," <i>Advances in Health Economics and Health Services Research</i> , 12, JAI Press, 1991.	
••••••	13.	Goodman, Michael J. et al, "Persistence of Health Care Expense in an Insured Working Population," <i>Advances in Health Economics and Health Services Research</i> , 12, JAI Press, 1991.	
		Fuller, Douglas N., " AN EXPLORATION OF POPULATION CLASSIFICATION FOR MANAGED HEALTHCARE WITHIN A STATE-BASED MODELING FRAMEWORK" University of Virginia Dissertation, dated Jan. 2000, published May 22, 2000 (see	
		attached letter from Director of Cataloging Services, University of Virginia Library).	
•••••			
orga i Rogalarona (a hondra fortar e			
		·	
	:		

Examiner	. Date	
Signature	Considered	

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents. Washington, DC 20231.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.